950-009252-US (PAR) Practiti n r's D

PATENT

Preliminary Classification:

Proposed Class:

Subclass:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand comer of the letter of transmittal accompanying the applications papers, for example 'Proposed Class 2, subclass 129.' " M.P.E.P. § 601, 7th ed.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application Assistant Commissioner for Patents Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s):

McCullough et al.

WARNING: 37 C.F.R. § 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(i)

is filed supplying or changing the name or names of the inventor or inventors."

For (title):

SAMPLE HOLDING CHUCK FOR USE IN REACTOR AND REACTOR USING SAME

CERTIFICATION UNDER 37 C.F.R. § 1.10*

(Express Mail label number is mandatory.) (Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date __5/30/00 in an envelope EL336864148US as "Express Mail Post Office to Addressee," mailing Label Number . dressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Elaine Mian

type or print name of person mailing paper)

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be

used to obtain a date of mailing or transmission for this correspondence.

*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(New Application Transmittal [4-1]—page 1 of 11)

đ U 9 m Ō Uī UT W

f Application Typ

This new application is for a(n)

(check one applicable item below)

X	Original (nonprovisional)
	Design
	☐ Plant
WARNING	2: Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. § 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.
WARNING	: Do not use this transmittal for the filing of a provisional application.
T	one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW APPLICATION RANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.
	Divisional.
	Continuation.
	Continuation-in-part (C-I-P).
Bana	fit of Brion 11 S. Application(s) (35.11 S.C. 88. 119(a), 120. Or 121)

2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or

NOTE: A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. § 112. Each prior application must also be:

- (i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or
 - (ii) Complete as set forth in § 1.51(b); or
- (iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or
- (iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(I) within the time period set forth in § 1.53(f).

37 C.F.R. § 1.78(a)(1).

NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICA-TION(S) CLAIMED.

WARNING: If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. §§ 120, 121 or 365(c), (35 U.S.C. § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. §§ 119, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.

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WARNIN	ļ	When the last day of pendency of a provisional application falls and Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming b n fit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).
	tic	ne new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL HERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.
3. Pape	ers E	inclosed
A. Re	equir esigr	ed for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 a) Application
	Page	s of specification
5_ F	Page	s of claims
		ts of drawing
WARNIN	t S d t F	OO NOT submit original drawings. A high quality copy of the drawings should be supplied when diling a patent application. The drawings that are submitted to the Office must be on strong, white, mooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired, for comments on proposed then-new 37 C.F.R. § 1.84, see Notice of March 9, 1988 (1990 O.G. 7-62).
ti C	nventa he Ofi on the	ifying indicia, if provided, should include the application number or the title of the invention, or's name, docket number (if any), and the name and telephone number of a person to call if fice is unable to match the drawings to the proper application. This information should be placed back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top page " 37 C.F.R. § 1.84(c)).
		(complete the following, if applicable)
	"Pi	e enclosed drawing(s) are photograph(s), and there is also attached a ETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).
	fon	mal
	info	ormal
B. Ott	ner P	Papers Enclosed
8P	ages	s of declaration and power of attorney
P	ages	s of abstract
C	ther	•••
. Addit	iona	papers enclosed
	Αm	endment to claims
		Cancel in this applications claims before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
		Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)
	Pre	liminary Amendment
	Info	rmation Disclosure Statement (37 C.F.R. § 1.98)
		m PTO-1449 (PTO/SB/08A and 08B)
, 🗆	Cita	itions
		· ·

) (eclaration of Biological Deposit
	ŗ	ubmission of "Sequence Listing," computer readable copy and/or amendment ertaining thereto for biotechnology invention containing nucleotid and/or mino acid sequence.
		uthorization of Attomey(s) to Accept and Follow Instructions from Representa-
] {	pecial Comments
] (ther
i. Dec	lara	tion or oath (including power of attorney)
NOTE:	the by app the by beinded per	why executed declaration is not required in a continuation or divisional application provided that prior nonprovisional application contained a declaration as required, the application being filed is all or fewer than all the inventors named in the prior application, there is no new matter in the cation being filed, and a copy of the executed declaration filed in the prior application (showing signature or an indication thereon that it was signed) is submitted. The copy must be accompanied statement requesting deletion of the names of person(s) who are not inventors of the application of filed. If the declaration in the prior application was filed under § 1.47, then a copy of that aration must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning on under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently uted declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)—(3).
NOTE:	is d abb cou C.F	claration filed to complete an application must be executed, identify the specification to which it rected, identify each inventor by full name including family name and at least one given name, without eviation together with any other given name or initial, and the residence, post office address and attry or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 R. § 1.63(a)(1)–(4).
NOTE:	as p as p is this	inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration rescribed by § 1.62, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration rescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship at inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under paragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name arms of the inventor or inventors." 37 C.F.R. § 1.41(a)(1).
Ċ	ġ	inclosed
	-1	executed by
		(check all applicable boxes)
		inventor(s).
		legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43.
		joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
		This is the petition required by 37 C.F.R. § 1.47 and the statement required by 37 C.F.R. § 1.47 is also attached. See item 13 below for fee.
_	_	lot Enclosed.
NOTE:	the ma	The the filing is a completion in the U.S. of an International Application or where the completion of U.S. application contains subject matter in addition to the International Application, the application be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE INTERNATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.
		Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).
		(New Application Transmittal [4-1]—page 4 of 11)

(The declaration of oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).
Showing that the filing is authorized. (not required unless called into question. 37 C:F.R. § 1.41(d))
6. Invent rship Statem nt
WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.
The inventorship for all the claims in this application are:
The same.
or
Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,
☐ is submitted.
will be submitted.
7. Language
NOTE: An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 C.F.R. § 1.52(d).
XI English
□ Non-English
☐ The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).
8. Assignment
An assignment of the invention to
International Business Machines Corporation
is attached. A separate ☑ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM PTO 1595 is also attached.
☐ will follow.
NOTE: "If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).
WARNING: A newly executed *CERTIFICATE UNDER 37 C.F.R. § 3.73(b)* must be filed when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.

(New Application Transmittal [4-1]—page 5 of 11)

9.	Certifi	a C	ру		
	Certified	сору	(ies)	of	application(s)

Country	Appln. No.				Filed
Country	Appln. No.				Filed
Country	Appln. No.		<u></u>		Filed
from which priority is claimed					
is (are) attached.					
☐ will follow.					
NOTE: The foreign application forming declaration, 37 C.F.R. § 1.55(a	the basis for the clair and 1.63.	n for	priority must b	e referred to	in the oath or
NOTE: This item is for any foreign pri- U.S. application or Internationa § 120 is itself entitled to priority PAGES FOR NEW APPLICATION	I Application from whic y from a prior foreign a ON TRANSMITTAL WH	h this oplica	application cla tion, then comp	ims benefit un plete item 18 d	nder 35 U.S.C. on the ADDED
10. Fee Calculation (37 C.F.R.	§ 1.16)			•	
A. X Regular application	•				
	CLAIMS AS FIL	ED			
Number filed	Number Extra		Rate	37 C.F.R.	Fee § 1.16(a) 0.00
Total Claims (37 C.F.R. § 1.16(c)) 25 - 20	= 5	×	\$ 18.00	90.00	J
Independent					
Claims (37 C.F.R.	=	×	\$ 78.00		
§ 1.16(b)) $2 - 3$ Multiple dependent claim(s),		 -	<u> </u>		<u> </u>
if any (37 C.F.R. § 1.16(d))		+	\$260.00	•	
☐ Amendment cancelling	g extra claims is e	nclo	sed.		
Amendment deleting	multiple-dependen	cies	is enclosed	•	
☐ Fee for extra claims i	s not being paid a	it thi	s time.	•	
NOTE: If the fees for extra claims are n prior to the expiration of the t notice of fee deficiency. 37 C	ime period set for resp	ist be , ionse	paid or the clair by the Patent i	ms cancelled b and Trademar	y amendment k Office in any
Fili	ng Fee Calculation	1		\$ 780.0	00
B. Design application (\$310.00—37 C.F.R.	§ 1.16(f))				
•	ng Fee Calculation	1		\$	
1 100					

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C.	_	Plant (\$480.5 - 37 C.F.R. § 1.16(g))	
		Filing fee calculation	\$
11.	Small	Entity Statement(s)	
		Statement(s) that this is a filing by a small er is (are) attached.	ntity under 37 C.F.R. § 1.9 and 1.27
<i>.</i>	ARNING:	"Status as a small entity must be specifically established the status is available and desired. Status as a small affect any other application or patent, including application of patent in refiling of an application under § 1.53 as a continuate a continued prosecution application under § 1.53(d)), a new determination as to continued entitlement to smapplication. A nonprovisional application claiming be 365(c) of a prior application, or a reissue application application or in the patent if the nonprovisional appreference to the statement in the prior application statement in the prior application or in the patent and desired. The payment of the small entity basic statutor for purposes of this section." 37 C.F.R. § 1.28(a)(2).	entity in one application or patent does not oplications or patents which are directly or in which the status has been established. The on, division, or continuation-in-part (including or the filing of a reissue application requires nall entity status for the continuing or reissue nefit under 35 U.S.C. § 119(e), 120, 121, or in may rely on a statement filed in the prior lication or the reissue application includes a or in the patent or includes a copy of the distatus as a small entity is still proper and y filing fee will be treated as such a reference
WA	RNING:	"Small entity status must not be established when the can unequivocally make the required self-certification 1996 (emphasis added).	
		(complete the following, if ag	oplicable)
		Status as a small entity was claimed in prid	or application
	-	, filed on	, from which benefit
		a balaa alabaad kaadala aadlaadaa	
	1	s being claimed for this application under:	
	ı	s being claimed for this application under: 35 U.S.C. §	
	î	35 U.S.C. § ☐ 119(e), ☐ 120, ☐ 121,	
	ı	35 U.S.C. §	
	ı	35 U.S.C. § ☐ 119(e), ☐ 120, ☐ 121,	proper and desired.
	t	35 U.S.C. §	application is included.
	·	35 U.S.C. §	application is included.
	·	35 U.S.C. §	application is included.
NO	TE: Any are	35 U.S.C. § 119(e), 120, 121, 365(c), and which status as a small entity is still A copy of the statement in the prior a Filing Fee Calculation (50% of A, B or 6)	application is included. C above) try status is established and a refund request
NO 12.	TE: Any are exte	35 U.S.C. § 119(e),	application is included. C above) try status is established and a refund request of a full fee. The two-month period is not
	TE: Any are exte	35 U.S.C. §	application is included. C above) Try status is established and a refund request of a full fee. The two-month period is not R. § 1.104(d))
	TE: Any are exte Reque	35 U.S.C. § 119(e),	application is included. C above) Try status is established and a refund request of a full fee. The two-month period is not R. § 1.104(d)) e) eport for this application at the time

3. Fee	Payr	n nt Being Mad at Thi Time				
	Not	Enclosed				
		No filing fee is to be paid at this time. (This and the surcharge required by 37 C.F.R. § subsequently.)	1.1	16(e)	can be p	aid
X	Enc	losed				
	X	Filing fee		\$.	780.00	
	X	Recording assignment (\$40.00; 37 C.F.R. § 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)		\$.	40.00	
		Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached (\$130.00; 37 C.F.R. §§ 1.47 and 1.17(i))		\$.		
		For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k))		\$.		
		Processing and retention fee (\$130.00; 37 C.F.R. §§ 1.53(d) and 1.21(l))		\$.		
		Fee for international-type search report (\$40.00; 37 C.F.R. § 1.21(e))		\$.		
f: 3 e	ailing to 17 C.F either ti	R. § 1.21(I) establishes a fee for processing and retaining any appli to complete the application pursuant to 37 C.F.R. § 1.53(f) and thi R. §§ 1.53 and 1.78(a)(1), indicate that in order to obtain the benef the basic filing fee must be paid, or the processing and retention fe I year from notification under § 53(f).	s, as fit of a	well a: a prior	s the change U.S. applica	tion,
		Total fees enclosed	\$_	82	0.00	
4. Met		of Payment of Fees				
X	Che	eck in the amount of \$820.00				-
	\$	arge Account No.	in	the	amount	of
NOTE: 6		uplicate of this transmittal is attached. ould be itemized in such a manner that it is clear for which purpose	, tha	faac se	e naid 37 C	E P
	*ees sa		, ule	i oc a di	o pero. 37 C.	/7.

(New Application Transmittal [4-1]-page 8 of 11)

15.	Auth	rizati	4	I Ch	arç	3 A	\dd i	ition	al	Fees	4	ı
WA	RNING:	If no f		٠,	he	neid	on i	Slina	th	following items	should a	completed

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

- The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 16-1350
 - 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)
 - X 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)
- NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.
 - 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
 - 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a)).
 - ☑ 37 C.F.R. § 1.17 (application processing fees)
- NOTE: ". . . A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).
 - ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))
- NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).
- NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . the issue fee. . . " From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

(New Application Transmittal [4-1]-page 9 of 11)

Customer No.

			credit to a deposit acco	ount." 37 C.F.R. § 1.26(a).
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. No.	29,277		David Aker	
			David Mici	

P.O. Address

425 Post Road

Fairfield, CT 06430

(New Application Transmittal [4-1]-page 10 of 11)

	Incor	porati n by erence of added pages
	pi st th	heck the following item if the application in this transmittal claims the benefit of rior U.S. application(s) (including an international application entering the U.S. age as a continuation, divisional or C-I-P application) and complete and attach e ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PIOR U.S. APPLICATION(S) CLAIMED)
		Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S. Application(s) Claimed
		Number of pages added
		Plus Added Pages for Papers Referred to in Item 4 Above
		Number of pages added
		Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application. Number of pages added
		Plus "Assignment Cover Letter Accompanying New Application" Number of pages added
X	State	ment Where No Further Pages Added
	•	no further pages form a part of this Transmittal, then end this Transmittal with is page and check the following item)
	X	This transmittal ends with this page.

(New Application Transmittal [4-1]—page 11 of 11)